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Use-Driven Acquisitions Planning for the SUS Libraries: Here We Go Again!

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Florida Library Association Annual Conference
March 3, 2016

Overview

- Background & Key initiatives
  - Janus Initiative
  - Core Collections
  - U-Borrow and Print Duplication Reduction
- Report on current shared PDA plan
- Searching for a new UDA plan
- Takeaways

Genesis in Janus

- Janus Conference on Research Library Collections, October 2005 at Cornell
  - Focus on Building Library Collections collaboratively
  - Atkinson's Six Key Challenges
    1. RECON (Converting the Scholarly Record)
    2. PROCON (Prospective Conversion)
    3. Creating Core Collections
    4. Licensing Principles and Publisher Relations
    5. Archiving
    6. Alternative Challenges for Scholarly Communication

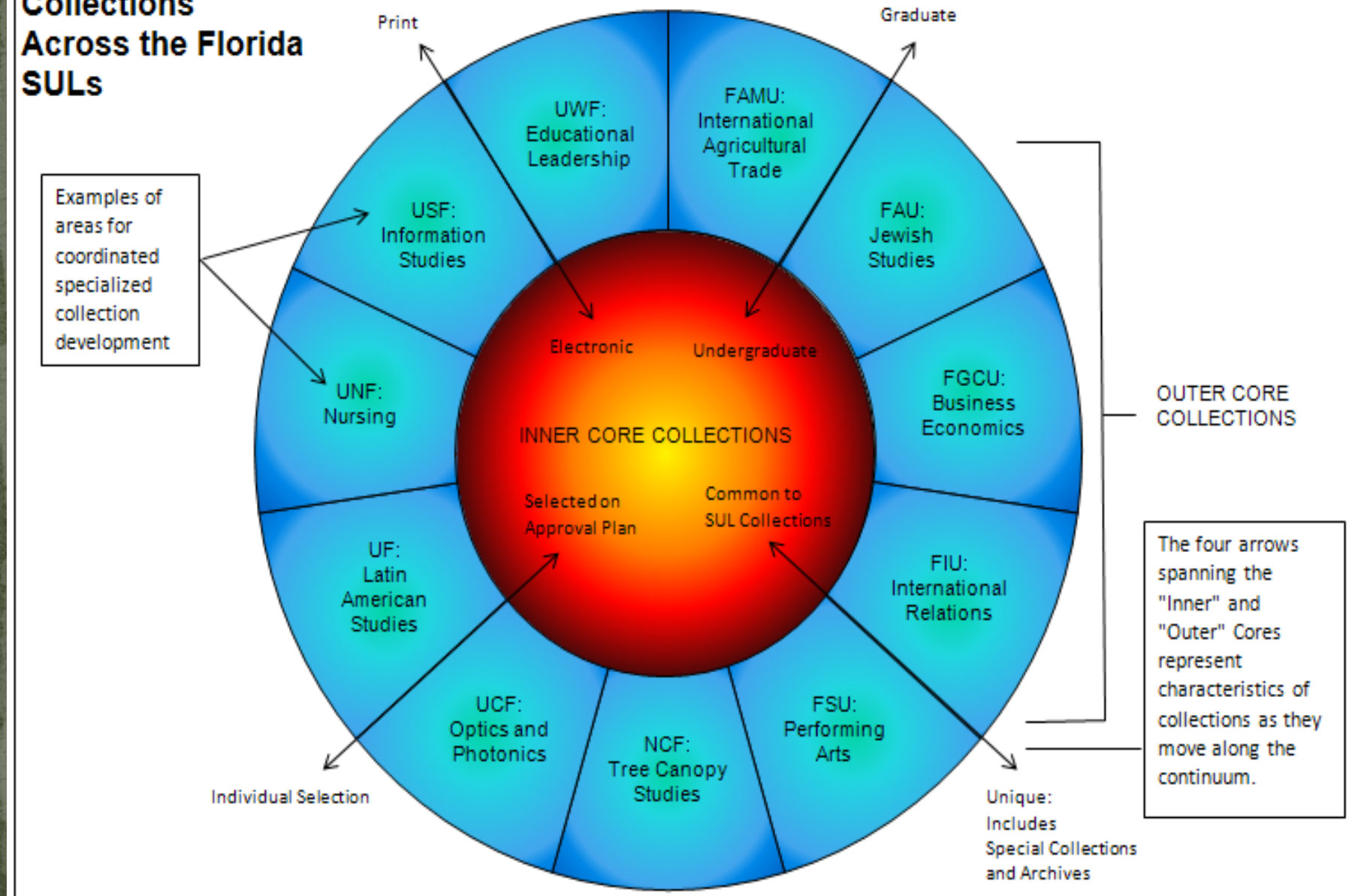
Genesis in Janus

- In 2007 the SUS Collection Planning Committee (CPC) recasts Janus Challenges and forms Janus Challenges Task Forces
- Final report of Core Collections Task Force October, 2008
- Janus Steering Committee established to carry recommendations forward
- Recommendations incorporated into CPC Action Plan

Defining Core Collections

- If a title is “core” does that means it should be readily available to (i.e., “on the shelf”) for students, not via ILL or other means?
- What is the relationship between an undergraduate “core” versus an upper-level, discipline specific “core”?
- What does the core mean when you look at the state university system (and Florida College System) as a whole?
- WorldCat Collection Analysis study used to help to identify areas of overlap and uniqueness.

Building Core Collections Across the Florida SULs



Building shared core collections

- WCA showed Psychology and Business as two areas of substantial overlap in undergraduate level materials
- 2010 central funds used to purchase a shared collection of Psychology e-books
  - Central funding eased concerns about buying a pre-defined collection
  - Challenges of how to handle MARC records
  - Communication across committees/FCLA
- What's the next step in the evolution of shared collections?

Moving Shared Collections Forward

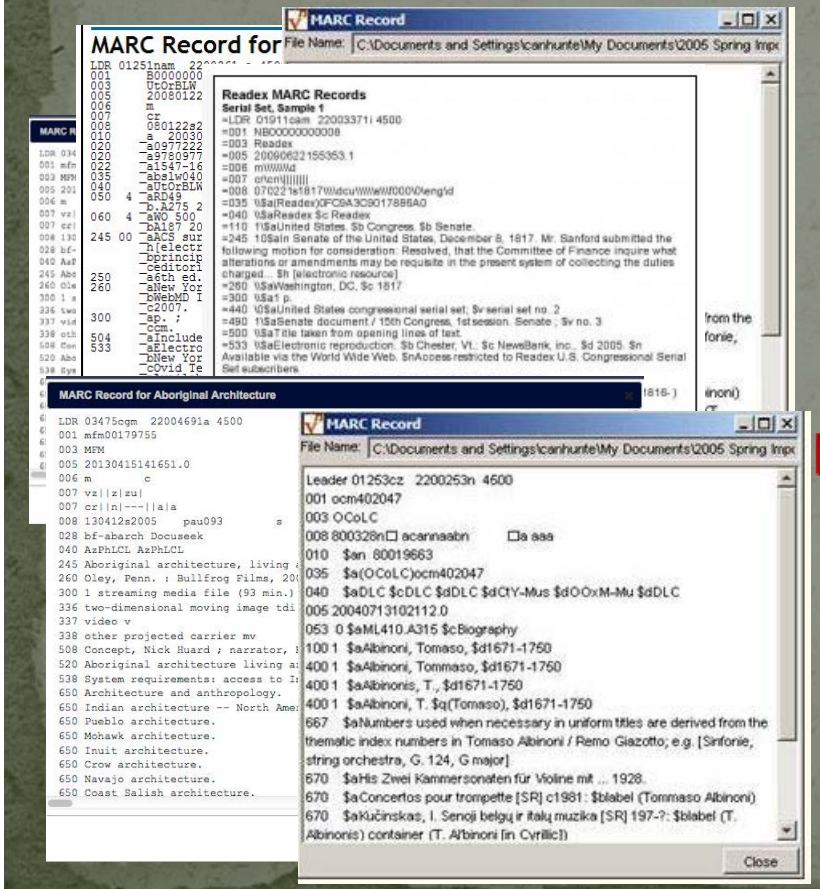
- Annual 2010 CPC meeting, the majority of SUS libraries had a DDA program in process, or were considering one
- Opportunity to marshal efforts and implement a single, shared DDA project
- Initial concerns:
  - Duplication of content with other purchasing programs
  - Sustainability of program over time
  - Equity among libraries in rates of selection
  - Limitations on resource sharing

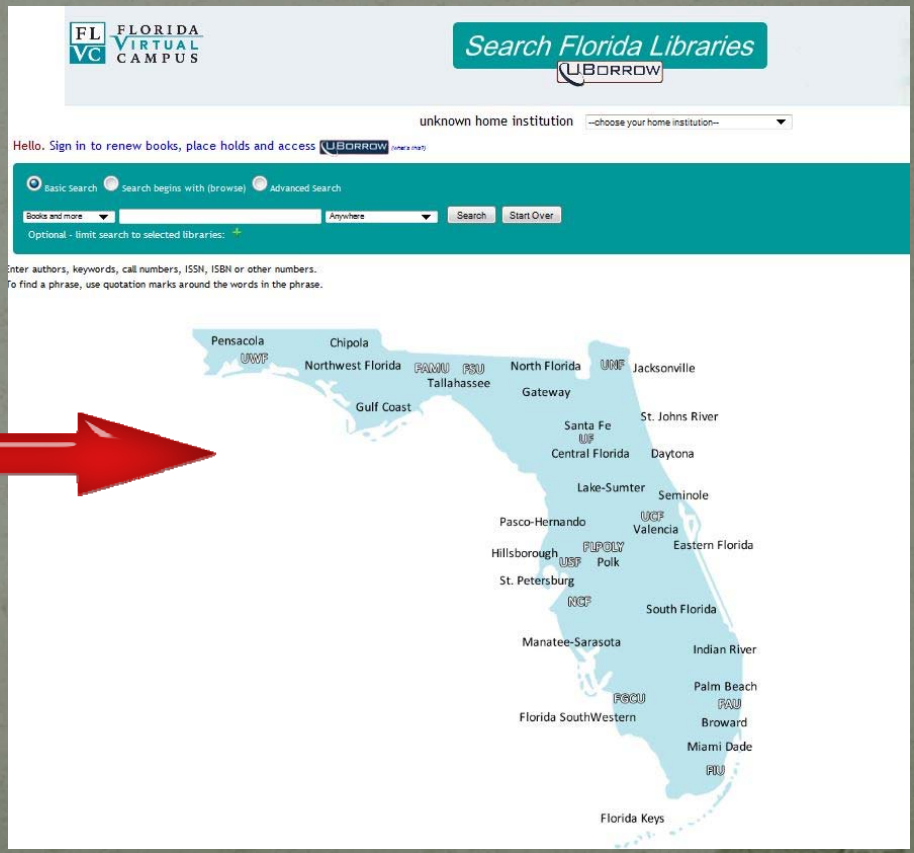
Progress in Florida

- The Invitation to Negotiate was released in April and awarded to Coutts/Ingram in October 2011.
  - Key decision factors:
    - Table of Contents in separate, searchable metadata
- Internal issues
  - Communication and transparency vs. the competitive purchasing process
  - Profiling committee
  - Record loading details
  - Coordination with print purchases

How the UDAs Work

MARC e-book records are loaded in batch files into the PDA / Mango catalog for discovery





Patron-Driven Acquisitions (PDA)

- Libraries put funds into a deposit account; MARC records are loaded
- Users don't realize the e-books are part of a PDA
- A set number of uses of any one e-book 'triggers' a purchase
- Aggregators charge group libraries a multiplier for purchases (2x, 3x, 4x, etc. the list price of an e-book)
- Purchases are deducted from the deposit

Evidence-Based Acquisitions (EBA)

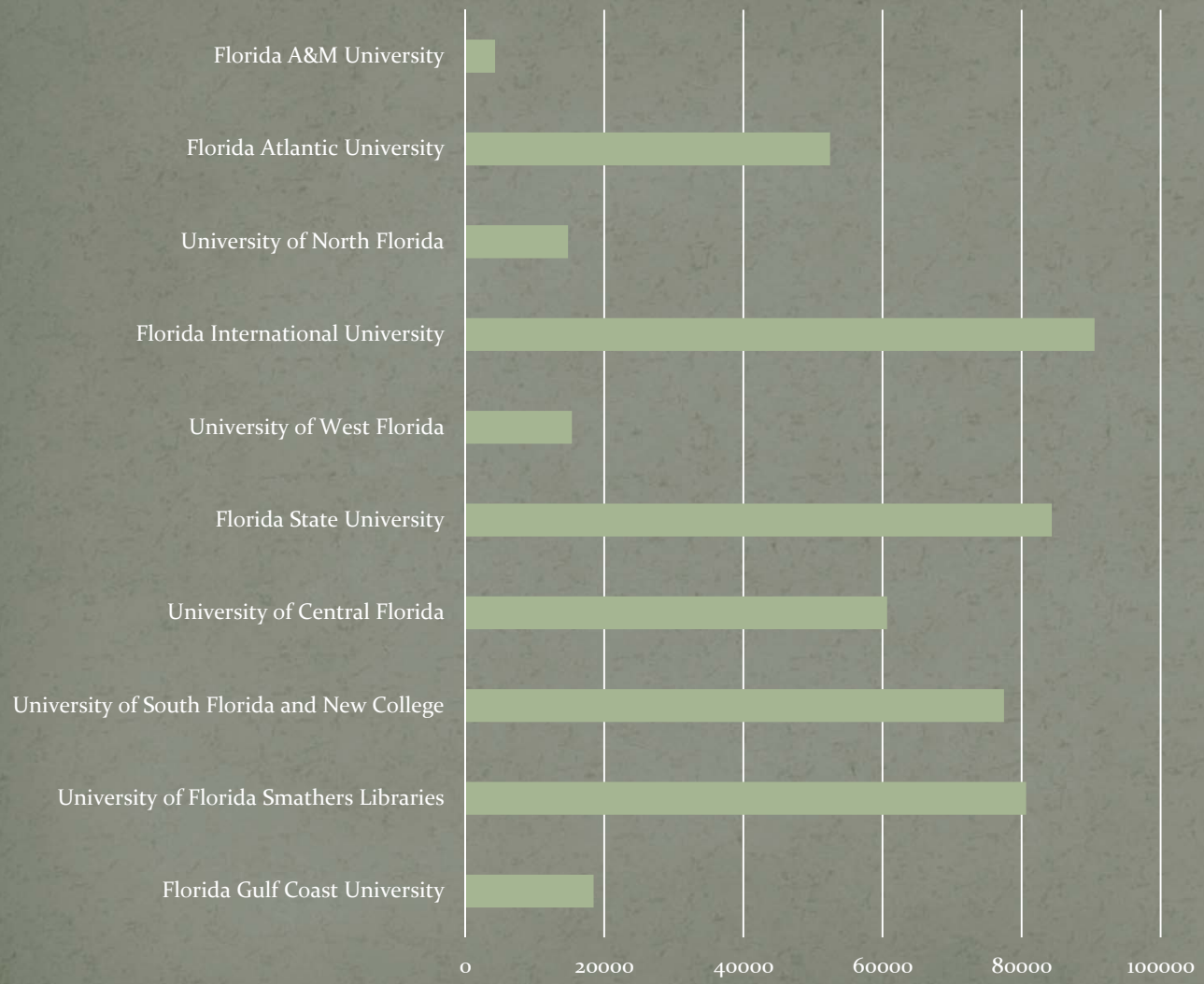
- Libraries put funds into a deposit account; MARC records are loaded
- Users don't realize the e-books are part of an EBA
- After a set time (e.g. quarterly) reports are distributed to libraries w/e-book titles/usage for 'select' purchases
- Publishers offer libraries incentives (discounts; less restrictions - no DRM)
- Purchases are deducted from the deposit

Coutts Shared E-Books PDA with the SULs (a.k.a. "Big Florida")

Highlights of the PDA Plan:

- Over 4,500 MARC e-book records are in the union PDA/Mango catalog for discovery by any user from the 11 SULs participating
- All subjects and disciplines are included in the plan, but the predominant subject areas are Social Sciences and Humanities
- Undergraduate focus
- Maximum price = $250
- Exclusions: dictionaries, travel books, reference books, novels, poetry, etc.; no reprints or facsimiles
- Language = English
- Years of coverage – 2012 forward
- E-Books are shared in use and purchases
- Each e-book is purchased for all 11 libraries
- As of March 2016, 26 publishers are participating
  - Notable publishers: Oxford, Wiley, ALA Editions; and several university presses including Duke, California, Rutgers, Illinois, Nebraska, Vanderbilt, Wisconsin, Temple..

Expenditure by Month



Usage by SUS

Usage has been good and averages 1.5 to 3.0 page views per FTE.

The number of unique titles that have been used runs from 105 to 957 out of the 4,500 titles now available.

Pros & Cons of the Coutts PDA plan

- **Pros**
  - Amazing average cost per purchased e-book - $197 - each e-book is acquired by all 11 participating SUS libraries
  - Affordable annual cost (approximately $100,000) that is divided fairly across the SUS consortium
  - Content received is high quality from several notable publishers and university presses
  - Overall usage across the consortium is strong and the cost per use of the plan is excellent

- **Cons**
  - Limited number of publishers are participating
  - Individual library usage is not consistent or equal - some libraries have much higher usage than others
  - All libraries are not sold on the plan and may not participate going forward

CSUL's guidelines for a new shared e-books plan

The plan should be:

- Affordable – roughly $100,000 per year total spend
- Ideally a use-driven acquisitions plan (PDA, DDA, EBA)
- Purchase e-books - not a subscription plan
- Can't spend a lot on short-term loans
- Content should support users in all libraries – focus on undergraduate level and across all disciplines
- Technical support/invoicing should be uncomplicated
- Coordinate with each libraries' print and e-book purchasing streams (i.e. low duplication)

- **Plans reviewed by the Shared Acquisitions Task Force (on behalf of the Collections Advisory Committee)**
  - YBP Options –
    - MARLI purchase model; OhioLink model; Orbis Cascade DDA model; Five Colleges model..
  - ProQuest DDA & ProQuest DDA "Access to Own" plans
  - ProQuest Academic Complete – subscription plan
  - Oxford - purchase plan
  - Cambridge – EBA plan
  - Project Muse – EBA plan
  - Taylor & Francis – EBA plan

YBP Options for SUL Consortium

- **MARLI & OhioLink purchase plans**
  - Pros
    - Print books and e-books rolled in together
    - Content from Oxford, Cambridge, Ashgate, and other notable presses – lots and lots of e-books made available
    - Print books also acquired for archival / shared storage / ILL
  - Cons
    - Very expensive models; several hundred thousand dollars; would require a huge commitment from all SUS libraries

- **Orbis Cascade DDA plan**
  - Pros
    - Very successful; large (37 libraries participating) consortial model to acquire e-books
    - Cost allocation formula is complicated but more equitable
    - Plan allows small, mid-size, and large academic, special, and public libraries to participate
  - Cons
    - Complicated model to administer and requires a lot of tech support (large committees spend a lot of time on management); very expensive and over half the expenditures on short-term loans

- **Five Colleges approval/DDA plan**
  - Pros
    - Very successful group DDA plan working from a single, shared approval plan
    - Strategic acquisitions and invoicing model: short-term loans are invoiced separately, not to each library; purchases triggered by use from a library are billed to that library
  - Cons
    - Complicated model to administer , requires centralized tech support from YBP
    - All participating libraries must centralize approval plan, invoicing, and tech support
    - As the main e-book acquisition stream, the plan requires a large budget from all Five Colleges

Other Options for SUL Consortium

Oxford purchase plan

- Pros
  - Much like the MARLI plan
  - Lots of excellent content made available – almost all Oxford e-books
  - Print books also acquired for archival / shared storage / ILL
- Cons
  - Very expensive model; several hundred thousand dollars; would require a huge commitment from all SUS libraries

Cambridge EBA

- Pros
  - Flexible consortial model to acquire e-books (all libraries purchase the same or separate e-books based on usage)
  - Cost allocation is based on current PDA spend, so affordable
  - Excellent content made available from a quality publisher
- Cons
  - The number of e-books purchased annually would be very low (approximately 150), so the plan is more a subscription model

Project Muse / Taylor & Francis EBAs

- Pros
  - New shared e-book plans that may allow more tailored model to be developed
  - High quality content
- Cons
  - Collections are large and expensive; would have to select 'sub-collections'
  - De-duplicating Project Muse content will be difficult (multiple university presses)

Let's Review

- YBP Options –
  - MARLI purchase model..... Too expensive
  - OhioLink model..... Ditto
  - Orbis Cascade DDA model..... Too complicated and expensive
  - Five Colleges model..... Doesn't fit our needs
- ProQuest DDA..... Model has expensive short-term loans
- ProQuest DDA "Access to Own"..... Wasn't offered
- ProQuest Academic Complete..... Subscription model
- Oxford - purchase plan..... Way too expensive
- Cambridge – EBA plan..... Few e-books purchases; more a subscription model
- Project Muse – EBA plan..... Too large (sub-collections); de-duplicating issues - *still negotiating*
- Taylor & Francis – EBA plan..... Too large (sub-collections) - *still negotiating*

Here we (keep) going again!

- In January 2016, Coutts added 4 new publishers and new content from participating publishers; 1,200 new MARC e-book records were generated and approx. 4,500 e-book records are currently available in the union catalog.
- In December 2015, ten of the SUS libraries renewed the agreement and contributed $50,000 into the PDA deposit.

Current stats - as of Feb. 2016

- PDA started in August 2013
- $256,676 has been spent on shared e-books
- 1,300 e-books purchased directly from usage
- $197 average cost per e-book (all 11 participating SUS libraries have a copy in their catalog)
- 17,519 uses from the purchased e-books; $14.66 per use

Takeaways

- Per FL Janus and other state initiatives, the SUL consortium should increase its shared collection building efforts:
  - Developing Core Collections is a strategic plan we recommend.
  - As a way to decrease duplication and share resources, the SUL consortium should increase print book acquisitions, shared storage, and ILL/Uborrow.
  - As a way to increase the cost-benefits of library budgets, the SUL should continue to share e-book access and purchasing.
- The current shared e-book PDA continues to operate and get bigger:
  - The PDA is reaping great value in cost per e-book and cost per use.
  - Publishers continue to participate so we presume they are happy with the model.
- Finding a new, affordable UDA shared e-book plan is proving to be a tough task, but it will happen!